

# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

<b>TRANSMITTAL FORM</b> (to be used for all correspondence after initial filing)		Application Number	10/692,424
		Filing Date	October 22, 2003
		First Named Inventor	MILLER, JOHN
		Art Unit	Unassigned
		Examiner Name	Unassigned
Total Number of Pages in This Submission		Attorney Docket Number	021186-001520US

## ENCLOSURES (Check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Return Postcard PTO/SB/O8A & PTO/SB/O8B
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## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual	Townsend and Townsend and Crew LLP James M. Heslin	Reg. No. 29,541
Signature		
Date	November 20, 2003	

## CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or printed name	Edward Masinas		
Signature		Date	November 20, 2003

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PATENT  
Attorney Docket No.: 021186-001520US

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On 11-20-03

TOWNSEND and TOWNSEND and CREW LLP

By: Edward Masinas  
Edward Masinas

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

MILLER, John et al.

Application No.: 10/692,424

Filed: October 22, 2003

For: BALLOON CATHETER

Examiner: Unassigned

Art Unit: Unassigned

INFORMATION DISCLOSURE  
STATEMENT UNDER 37 CFR §1.97 and  
§1.98

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

The references cited on attached form PTO/SB/08A and PTO/SB/08B are being called to the attention of the Examiner. In accordance with 37 CFR §1.98(d), copies of the references can be found in Application No. 10/085,589, filed February 28, 2002 (Attorney Docket No. 021186-001510US). It is respectfully requested that the cited references be expressly considered during the prosecution of this application, and the references be made of record therein and appear among the "references cited" on any patent to issue therefrom.

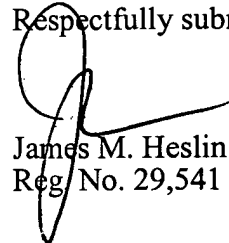
As provided for by 37 CFR 1.97(g) and (h), no inference should be made that the information and references cited are prior art merely because they are in this statement and no

representation is being made that a search has been conducted or that this statement encompasses all the possible relevant information.

Applicant believes that no fee is required for submission of this statement.

However, if a fee is required, the Commissioner is authorized to deduct such fee from the undersigned's Deposit Account No. 20-1430. Please deduct any additional fees from, or credit any overpayment to, the above-noted Deposit Account.

Respectfully submitted,

A handwritten signature in black ink, appearing to be 'J. Heslin', written over the typed name.

James M. Heslin  
Reg. No. 29,541

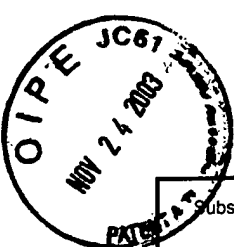
TOWNSEND and TOWNSEND and CREW LLP  
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JMH:ewm  
60085364 v1



<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		<b>Complete if Known</b>			
		Application Number	10/692,424		
		Filing Date	October 22, 2003		
		First Named Inventor	Bui, John		
		Art Unit	Unassigned		
		Examiner Name	Unassigned		
Sheet	1	of	5	Attorney Docket Number	021186-001520US

U.S. PATENT DOCUMENTS+					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number Kind Code <sup>2</sup> (if known)			
	1	3,750,058	07-31-1973	Bankert, Jr. et al.	
	2	4,105,022	08-08-1978	Antoshkiw et al.	
	3	4,188,954	02-19-1980	Patel et al.	
	4	4,259,960	04-07-1981	Taylor	
	5	4,336,798	06-29-1982	Beran	
	6	4,484,586	11-27-1984	McMickle et al.	
	7	4,492,089	01-08-1995	Rohmer et al.	
	8	4,646,719	03-03-1987	Neuman et al.	
	9	4,886,496	12-12-1989	Conoscenti et al.	
	10	4,917,666	04-17-1990	Solar et al.	
	11	5,163,911	11-17-1992	Sirimanne et al.	
	12	5,195,972	03-23-1993	Inoue	
	13	5,253,653	10-19-1993	Daigle et al.	
	14	5,285,744	02-15-1994	Grantham et al.	
	15	5,295,994	03-22-1994	Bonutti	
	16	5,304,134	04-19-1994	Kraus et al.	
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	18	5,334,160	08-02-1994	Ellis	
	19	5,364,354	11-15-1994	Walker et al.	
	20	5,395,334	03-07-1995	Keith et al.	
	21	5,409,004	04-25-1995	Sloan	
	22	5,429,605	07-04-1995	Richling; Bernd et al.	
	23	5,437,637	08-01-1995	Lieber et al.	
	24	5,453,094	09-26-1995	Metcalf et al.	
	25	5,484,412	01-16-1996	Pierpont	
	26	5,492,532	02-20-1996	Ryan et al.	
	27	5,499,971	03-19-1996	Shapland et al.	
	28	5,501,668	03-26-1996	Kontos	
	29	5,512,051	04-30-1996	Wang et al.	
	30	5,527,292	06-18-1996	Adams et al.	
	31	5,552,818	09-03-1996	Agano et al.	
	32	5,562,725	10-08-1996	Schmitt et al.	
	33	5,571,161	11-05-1996	Starksen	
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	35	5,606,981	03-04-1997	Tartacower, et al.	
	36	5,620,649	04-15-2003	Trotta	
	37	5,628,754	05-13-1997	Shevlin et al.	
	38	5,649,909	07-22-1997	Cornelius	
	39	5,649,941	07-22-1997	Lary	
	40	5,653,691	08-05-1997	Rupp et al	
	41	5,681,336	10-28-1997	Clement et al.	
Examiner Signature		Date Considered			

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Kind Codes of U.S. Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.



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			Application Number	10/692,424	
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			First Named Inventor	Bui, John	
			Art Unit	Unassigned	
Sheet	2	of	5	Examiner Name	Unassigned
				Attorney Docket Number	021186-001520US

U.S. PATENT DOCUMENTS+					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number Kind Code <sup>2</sup> (if known)			
	42	5,683,410	11-04-1997	Samson	
	43	5,695,008	12-09-1997	Bertet et al.	
	44	5,702,439	12-30-1997	Keith et al.	
	45	5,713,854	02-03-1998	Inderbitzen et al.	
	46	5,728,063	03-17-1998	Preissman et al.	
	47	5,733,301	03-31-1998	Forman	
	48	5,743,876	04-28-1998	Swanson	
	49	5,752,934	05-19-1998	Campbell et al.	
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	51	5,759,173	06-02-1998	Preissman et al.	
	52	5,769,817	06-23-1998	Burgmeier	
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	55	5,797,877	08-25-1998	Hamilton et al.	
	56	5,800,522	09-01-1998	Campbell et al.	
	57	5,817,053	10-06-1998	Agarwal	
	58	5,823,995	10-20-1998	Fitzmaurice et al.	
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	60	5,827,201	10-27-1993	Samson et al.	
	61	5,827,231	10-27-1998	Harada	
	62	5,833,659	11-10-1998	Kranys	
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	64	5,836,892	11-17-1998	Lorenzo	
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	66	5,843,051	12-01-1998	Adams et al.	
	67	5,860,923	01-19-1999	Lenker et al.	
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	70	5,876,375	03-02-1999	Penny	
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	72	5,879,361	03-09-1999	Nash	
	73	5,895,405	04-20-1999	Inderbitzen	
	74	5,899,935	05-04-1999	Ding	
	75	5,906,606	05-25-1999	Chee et al.	
	76	5,913,854	06-22-1999	Maguire et al.	
	77	5,919,570	07-06-1999	Hostettler et al.	
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	79	5,925,016	07-20-1999	Chomenky et al.	
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	81	5,935,122	08-10-1999	Fourkas et al.	
	82	5,938,672	08-17-1999	Nash	
Examiner Signature		Date Considered			

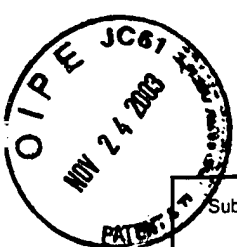
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	83	5,964,797	10-12-1999	Ho	
	84	5,980,549	11-09-1999	Chin	
	85	5,980,549	11-09-1999	Chin	
	86	5,997,558	12-07-1999	Nash	
	87	5,997,562	12-07-1999	Zadno-Azizi et al.	
	88	6,017,323	01-25-2000	Chee	
	89	6,027,475	02-22-2000	Sirhan et al.	
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	92	6,033,381	03-07-2000	Kontos	
	93	6,036,697	03-14-2000	DiCaprio	
	94	6,059,751	05-09-2000	Ostapchenko et al.	
	95	6,066,114	05-23-2000	Goodin et al.	
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	97	6,074,407	06-13-2000	Levine et al.	
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	99	6,080,170	06-27-2000	Nash et al.	
	100	6,090,126	07-18-2000	Burns	
	101	6,096,055	08-01-2000	Samson	
	102	6,120,477	09-19-2000	Campbell et al.	
	103	6,120,904	09/19/200	Hostettler et al.	
	104	6,122,552	09-19-2000	Tockman et al.	
	105	6,132,824	10-17-2000	Hamlin	
	106	6,146,370	11-14-2000	Barbut	
	107	6,146,372	11-14-2000	Leschinsky et al.	
	108	6,156,054	12-05-2000	Zadno-Azizi et al.	
	109	6,159,195	12-12-2000	Ha et al.	
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	111	6,165,152	12-26-2000	Becker	
	112	6,165,163	12-26-2000	Chien et al.	
	113	6,176,851	01-23-2001	Tsugita et al.	
	114	6,179,788	01-30-2001	Sullivan	
	115	6,186,181	02-13-2001	Schippl	
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	120	6,190,332 B1	02-20-2001	Muni et al.	
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	122	6,193,686 B1	02-27-2001	Estrada	
	123	6,206,852 B1	03-27-2001	Lee	
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Sheet	4	of	5	Attorney Docket Number	021186-001520US

U.S. PATENT DOCUMENTS+					
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	124	6,270,477 B1	08-07-2001	Bagaoisan et al.	
	125	6,315,757 B1	11-13-2001	Chee et al.	
	126	6,322,534 B1	11-27-2001	Shkolnik	

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				
	127	WO	02/02162	A2	01-10-2002	Sepetka et al.		<input type="checkbox"/>
	128	WO	96/30074	A1	10-03-1996			<input type="checkbox"/>

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Sheet	5	of	5	Attorney Docket Number	021186-001520US

<b>NON PATENT LITERATURE DOCUMENTS</b>			
Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	129	Commedore, Temporary Occlusion Balloon Catheter, at << <a href="http://www.cordis.com/Commodore_Balloon.cfm">http://www.cordis.com/Commodore_Balloon.cfm</a> >>, visited on January 1, 2002, 8 pgs total.	
	130	Dodson, "Device Reverses Blood Flow, Prevents Embolism During Carotid Procedures," ArteriA Medical Science Inc. at << <a href="http://www.medicaldata.com/mit/detail.asp?art=04120101&amp;MITUID=20359">http://www.medicaldata.com/mit/detail.asp?art=04120101&amp;MITUID=20359</a> >>, visited on April 12, 2001.	
	131	NeuroVASx <sup>1</sup> , Acute Stroke Initiatives: Neuro Vasx Sub-MicroInfusion Catheter, at << <a href="http://www.neurovasx.com/products.html">http://www.neurovasx.com/products.html</a> >>, visited on April 17, 2001, pp.1-3.	

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